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# security



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# bulletin

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awareness

# **security awareness bulletin**

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The Security Awareness Bulletin is produced by the Department of Defense Security Institute, Richmond, Virginia. Primary distribution is to DoD components and Federal contractors cleared for classified access under the National Industrial Security Program and special access programs. Our purpose is to promote security awareness and compliance with security procedures through dissemination of information to security trainers regarding current security and counterintelligence developments, training aids, and education methods.

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# Regional Cooperation For Security Education In Industry

Are you tired of re-inventing the wheel? Do you sometimes wonder how other security professionals (with shoestring budgets like yours) are providing security awareness training to their employees? Do you wish you had a bit more know-how about the nuts and bolts of communications? There are ways to deal with these problems and they generally fall under the heading of mutual cooperation – the kind of cooperation that cuts across organizational lines and territorial boundaries. This is no great secret to many experienced facility security officers whose effectiveness is continually enhanced by both formal and informal networking with other security professionals. But, it is to those in the contractor world who are relatively new on the job or who, because of geography or other reasons, have found it more difficult to establish cooperative links, that we address this article.

Recent cutbacks in the defense budget affecting contractors, and spending reductions in federal agencies, have made it all the more essential that strategies for cost savings be explored and implemented. One approach to economizing is to establish personal links to prevent duplication of effort, encourage product-sharing, and promote cooperative programs for professional training. For many of us, professional organizational frameworks for "networking" make sharing and mutual cooperation possible.

For the defense contractor community, the idea of regional organizations for security education is not new. In July 1987 we published an in-depth article on a group of defense contractors in Boston who formed the Security Education Advisory Board (SEAB) to pool resources and to improve security education in that region. Although many of the names have changed since then, the example set by the SEAB founders is still worth reviewing. We have reprinted the article in this issue especially for our new readers.

Another, more recent example of regional cooperative effort is at the other end of the continent. The Industrial Security Awareness Council (ISAC)

in Los Angeles stands as an example of how Industry and Government can work very closely together in a common organizational framework. The ISAC model has already been adopted by groups in Phoenix, San Diego, Denver, Tucson, and in Huntsville, Alabama.

Since the launching of the Boston group in 1986, other regional groups have formed more or less along the same lines and have undertaken joint efforts at product development (videos, posters, newsletters) and training for security professionals. Several have sponsored the Security Briefers/Train-the-Trainer course with the assistance of the Defense Security Institute (see the notice in this issue). At least one group, ISAC in Southern California, has held a seminar especially for facility security officers. The Joint Industry Government Security Awareness Group (JIGSAG) in Washington and SEAB in Boston have concentrated on the development of standard briefing packages for contractors in their respective areas, and JIGSAG's International subcommittee has begun to publish an excellent quarterly newsletter particularly designed for foreign travelers.

The idea is catching on in other parts of the country. Typically, these groups have come about as a result of a few key industry and/or government professionals who recognize first, the economic benefits of cooperation and secondly, the irrationality and inefficiency of having corporate security units work in isolation. The following are local and regional contractor associations that we know something about. Others may be in the process of formation. If you are aware of an active or recently established association not mentioned here, please let us know. But in case nothing is listed for your particular area, contact your regional DIS Education and Training Specialist for current information. We plan to publish regular up-dates on regional group activities in the *Security Awareness Bulletin*. The Defense Investigative Service fully supports and officially encourages industry initiatives to begin these associations where they don't already exist.

## **Area and regional Cooperative Groups as of January 1991**

**SEAB**, the Security Education Advisory Board (Boston area) strongly supported by DIS regional offices, SEAB was one of the earliest groups formed and has focused its efforts on the development of training modules for five occupational groups that can be used by all contractors. Lately the group has concentrated on the exchange of ideas and educational materials.

**ISAC**, the Industrial Security Awareness Council (Los Angeles/Long Beach). A partnership between the Defense Investigative Service, the Federal Bureau of Investigation and larger defense contractors.

**BISTAG**, Baltimore Industrial Security Training and Assistance Group. About 25 companies comprise this group. They focus on self-training – where the bigger company FSOs train smaller company FSOs in COMSEC, STU III, DISCO, etc.

**JIGSAG**, the Joint Industry-Government Security Awareness Group (Washington DC area). Formed just a few months ago, JIGSAG serves as an information center for industry security educators and is in the process of developing security briefings and training modules on the Threat, Safeguarding and Destruction, COMSEC, and other security issues.

**SAID-SO**, the Southern Arizona Industrial Defense Security Organization, a recently formed group serving the Tucson area.

**ISAC**, Industrial Security Awareness Council - Scottsdale, Arizona (greater Phoenix area). The working group has just recently had its first meeting to determine the goals for the group: networking and self-help (training one another). The ISAC will be meeting quarterly.

**ISAC**, Industrial Security Awareness Council - Rocky Mountain Region. They had their first meeting in July and plan to meet again this month. Their purpose is to share resources (posters, videos) in order to help the smaller contractors and develop a network. Contractors from Colorado Springs, Denver, and Boulder make up the group.

**ISAC**, Industrial Security Awareness Council - San Diego, California. A partnership between defense contractors, DIS, and the FBI, in the San Diego area.

**ISAC**, Industrial Security Awareness Council - Huntsville, Alabama. Another new group that began in August of this year. Among other things, they plan to create a briefing to improve security awareness between the User Agency and the contractor.

# ISAC: A Model for Government and Industry Partnership

By Lynn Fischer, *SAB Editor*

Several months ago I had the opportunity to visit the Pacific Region office of the Defense Investigative Service in Long Beach. The major objective of this call was to find out more about the *Industrial Security Awareness Council*. This industry/government cooperative effort in Southern California was rumored to be doing great and innovative things for security education. I wasn't disappointed. The following report about ISAC could be described as a "glowing account," but I believe it accurately reflects the catchy enthusiasm generated by committed professionals who obviously enjoy working together. ISAC could well serve as a model for future regional associations.

As the schedule worked out, I was ushered directly from the Long Beach airport into a meeting of one of the Council's several working committees. This group was coming to grips with plans for its second annual Facility Security Officer (FSO) Seminar which has, in fact, just concluded. We hear that it received the same rave reviews as given to the first seminar in 1989. This event, designed for security personnel from new and smaller cleared contractors, is one of the best examples of the Council's strategy of improving security in the whole community by supporting the training programs of companies which might not have the experience, budget, or trained personnel enjoyed by the larger firms. More about the seminar later.

Following the committee meeting, I had a chance to chat with Greg Gwash, Director for Industrial Security and Linda Kimbler the regional E&T Specialist. And I got a taste of their underlying philosophy about the role of security awareness in the context of the Defense Industrial Security Program. I asked, "What really accounts for the psychic energy which you have put into what amounts to an

educational activity?" After all, government representatives like themselves have traditionally exercised only oversight responsibilities for defense industry. This is the answer: The results of inspections and analysis consistently reveal that *the principal preventable cause of security violations and deficiencies is the lack of adequate security education and training*. In each case the culpable employee was inadequately informed, trained or briefed in his or her responsibilities. In other words, out in Long Beach they are convinced that security awareness is the key to success for the whole program.

ISAC also presents a somewhat different organizational model from what has been seen in cooperative groups in Boston, Baltimore and the Capital Region. This has something to do with its origins. In 1988, at the invitation of regional representatives of the Defense Investigative Service and the Federal Bureau of Investigation,<sup>1\*</sup> security professionals from eleven major defense contractors joined together with the DIS and FBI for the express purpose of:

- creating a clearing house to reduce duplication and better manage resources for security training.
- promoting the idea to employee and management that sound security practices are profitable.
- assisting smaller defense contractors to create effective awareness programs.

The first objective, already being realized, has resulted in better and more widely usable products including posters and a video briefing. The second point makes a lot of sense as

<sup>1</sup> These included Greg Gwash (former DIS Pacific Region Director for Industrial Security), Linda Kimbler (DIS Regional E&T Specialist), Dave McDonald (DIS Regional Director), and FBI Agent Rusty Capps (Development of Espionage and Counterintelligence Awareness Briefing official at the Los Angeles Field Office). Since then, Greg Gwash has become the DIS Deputy Director for Industrial Security and Agent Capps has become the FBI's national DECA coordinator.

## **ISAC Committee Structure**

**Archives** Focal point for acquisition and distribution of a wide variety of education and training materials, available to all cleared contractors in the Pacific Region. Maintains a central library at the DIS regional office of 1/2" and 3/4" format security awareness videos available on loan to all cleared facilities. Shares resources with other DIS Regions.

**Speakers Bureau** Assists contractors in obtaining information on speakers and helping with possible cost-sharing among facilities.

**Slides & Videos Plans**, develops and produces slide packages and video products which will be made available through the archive.

**Computer Applications to Security** Provides a forum for the evaluation and dissemination of computer security applications software and hardware, developed by industry to satisfy the Industrial Security Manual and other security requirements.

**Posters & Literature** Provides concepts and ideas for economical use of printed educational materials to all cleared facilities and coordinates poster development and distribution by DIS representatives to facilities in the region.

**Threat Assessment and Briefings** Develops and updates threat-oriented foreign-travel and other briefings which can be used by FSOs to brief cleared employees. The committee includes representatives of Air Force OSI, Naval Investigative Service, Army MI, DIS, and the FBI.

**FSO Seminars** Provides basic security training to FSOs of newly cleared facilities and to security staff of cleared contractors, by presenting the FSO two-day seminar. The seminar, taught by both industry and government personnel, provides an overview of all essential industrial security requirements. Also responsible for organizing the Security Education Fair at each FSO Seminar.

well. Poor security (quite aside from the damage done by the compromise of classified information) may result in the loss of contracts, key personnel, or profit and, in the worst cases, loss of clearance or debarment. And the last goal listed above is not just a reflection of the high-mindedness on the part of larger companies. It also makes good business sense, since most of the smaller firms are in fact subcontractors for the giant aerospace corporations. Assistance in reducing the operating expenses of smaller companies offers obvious savings for primary contractors in the long run.

### **Where The Action Is**

As explained to me – and as I could see from first hand observation – the interesting part of the organization is not the Council itself (which meets monthly and provides oversight as would a board of directors). The real action

takes place in the seven working committees consisting of representatives from government, the eleven council members, plus members of other cleared facilities. Note from the above list of committees that they are organized by media or method rather than by subject matter as seen in other cooperative groups. Is this really the most effective way to organize these efforts – rather than having a working group on foreign travel, computer security, safeguarding, or personnel security? The committee members I spoke to pointed out that while we should all be knowledgeable about our security programs, experience and skills in public speaking, graphics arts, writing, publications, or photography differs widely within the group. Division of labor by medium appears to be a very practical method of dealing with these tasks.

Each of the committees meets on a regular basis and reports to the council on accomplishments and projects related to its tasking. Among the most notable training products generated by this cooperative effort so far is "Espionage 2000," a co-production of Hughes Aircraft and the FBI. ISAC has also supported the development of "Espionage Alert," produced by the Northrop Corporation. (Both are advertised in this issue of the Bulletin). The on-going plan is for each of the larger firms in turn to develop a high quality video product which can be distributed at nominal cost to defense contractors not only in the Pacific Region but nation-wide.

### **Posters... Posters... Posters**

The next day I had the pleasure of meeting with Carol Thomas, Division Security Officer at LOGICON in San Pedro. LOGICON, which specializes in software and information systems for the Department of Defense, is one of the founding council members of ISAC. Carol's particular interest is poster concepts for security awareness and in fact chairs the Council's Poster and Literature Committee. As she explained it to me, the continuing demand for eye-catching and thought-provoking posters throughout the contractor community can be met by substantially increasing printing output for each run.

There is one truism about poster production known to all organizations where it has been tried: printing 500 to 600 copies of a color poster is outrageously expensive, but the cost of doing another thousand or two is only marginally greater. As Carol pointed out, the one-time artwork and setup is the major expense. Once the presses are rolling, additional copies are very economical to produce. "Why not produce as many copies as can be used within the larger community? Why not put a little more money into the production process to assure a higher quality product and one that will reflect favorably on the name of the company?" And lastly, "why not rotate the responsibility for periodic poster production among facilities that can generate in-house posters?" This, in fact, is the formula for poster production by Council members. It makes economic

sense and results in a greater variety of available posters. In this way, the needs of each firm that created and paid for the product are met; and the poster "demands" of other defense contractors are satisfied as well. To date, three excellent posters have been published and distributed, each by a different Council member, and a fourth is in the mill.

### **FSO Training Seminars**

Another obviously cost-effective activity is ISAC's cooperative effort to train facility security officers for smaller firms. These would include individuals who are completely new to security or who may carry out security duties as an additional responsibility. Another oft-neglected professional category whose training needs are addressed by the Council is security staff members in larger firms below the FSO level. With the anticipated reorientation of DODSI's Industrial Security Management field extension as an advanced FSO course, there is an even greater perceived need for training new and lower echelon security staff.

In response to these needs, ISAC's annual two-day FSO Seminar provides basic security training with a strong focus on security education. Clearly, one of the functional areas about which beginning security officers are most anxious is that of security awareness training for other cleared employees. As a result of this perceived inadequacy, the seminar program includes a hearty dose of information and methods for getting the security message across. Speaker's topics this year (September 1990) included Counter-Espionage Challenges, Self Inspections, and Security Education.

In addition, special small-group workshops were held on Visitor Control, Program Basics, Personnel Security Clearances, Safeguarding and Accountability, Personal Computer Security, Standard Practices and Procedures, and Classification Management. As many as four workshops were conducted at the same time during four, two-hour blocks so that attendees could attend several of their choice. While all of this was going on, attendees were treated to a Security Education Fair - booths where publications, posters, bulletins and samples of

training products were displayed or available for the asking.

In all about 150 security professionals attended. And with a crowd of this size comes a significant administrative burden. Headed by E&T Specialist Linda Kimbler, the FSO Seminar Committee of 17 dedicated workers put in many long, overtime hours conducting attendee registration, preparing folders, setting up equipment, and doing all of the behind-the-scenes tasks that nobody knows about unless there is a snafu.

The question always comes up, "how could something on this scale be financed?" Government funding was not involved and ISAC itself does not have a budget. It was possible, only because much of what went into the seminar was loaned or donated. Both Federal and contractor personnel who spoke, led workshops, or carried out administrative tasks did so without a fee. In addition, many of the supporting contractors provided signs, projectors, video and sound equipment, and printing support for the event. This, of course, was a significant contribution since the committee could avoid rentals and purchases for materials. The primary expense was the use of the conference center: a large meeting room with three, smaller adjacent rooms. To cover this, each

attendee was charged \$95, which included buffet lunch both days. This was a training bargain well worth the price to any cleared contractor. And ISAC has demonstrated that an event of this type is not only feasible elsewhere but, with careful planning, is bound to succeed.

### A Model For Adoption

Is the ISAC model for regional cooperation worth adopting? Evidently so; three other area groups (Denver, Phoenix, and San Diego) have borrowed the name and many of its organizational features. A fourth ISAC has just formed in Huntsville, Alabama. This is not to say that groups with other organizational formats would be unable to achieve the same desirable goals. ISAC's winning formula, however, includes the following factors: close partnership between government and industry, leadership by government and larger contractors, teamwork among all organizations to achieve common training objectives, and product and cost sharing to develop security awareness materials having universal appeal.

This article was first printed in the July 1987 issue of the *Security Awareness Bulletin*. Since then other groups of defense contractors have formed similar associations in various parts of the country. The Defense Investigative Service is so in favor of the idea of contractors sharing ideas for security education that it has asked its Directors

of Industrial Security in each region to help form additional groups. DIS will take on a partnership role.

To find out if there is a group located near you, contact your DIS Education and Training Specialist. Names and phone numbers of the E&Ts are on page 18.

## Pulling Together



### Boston Contractor Group Pools Resources to Improve Security Education

Here at the Institute we've been hearing off and on for the past couple of years about an innovative group of contractors in the Boston area who have banded together to produce security education materials. The people at the DIS New England Region Cognizant Security Office were particularly enthusiastic about this effort, and they arranged for some of us from DoDSI to go up and see what it was all about.

We visited the Regional Director and "Cog Office" staff. Afterwards, Industrial Security Specialists Dick Maguire and Linda Perry took us to meet the contractors' committee. About a day and half was spent with this group listening, interviewing different members, observing, asking questions, eating lobsters. The group's efficiency and cohesiveness is impressive. They call themselves the Security Education Advisory Board (SEAB).

And they're putting their ideas into action. This article on the SEAB – is to give you an idea of what they're doing – to introduce you to

a great group of people and the exciting concepts of cooperation and sharing that epitomize SEAB.

It's possible other contractors elsewhere would be interested in picking up ideas, pointers, and guidance material to start their own group dedicated to security education.

The SEAB is focusing on slide-tape presentations. It's an excellent idea. A different group might find some other focus (a security bazaar or speakers' list or poster contest). The word is out in fact. SEAB's latest meeting included a representative from Boeing Company, Seattle who was in Boston to get the particulars for starting a similar group on the West Coast.

SEAB founder and main spokesperson, Gerald Tully, is the security specialist at AVCO Systems-Textron in Wilmington, MA. Tully is a gregarious, confident sort who has been in the security field for a long time and knows how to get the job done. He's had 22 years with the Massachusetts State Police, 20 years with the Army (active and reserve). Both included teaching courses in security and crimi-

nal justice. Tully has a masters degree in education and teaches evening courses in criminal justice at a local community college. This, in addition to his job at AVCO.

### **It happened in Hyannis**

In April 1985 Tully attended a DoDSI Industrial Security Management Course in Hyannis. While there he took part in one of the many workshops DoDSI was giving – this one on security education – a topic that the Defense Investigative Service (DIS) emphasizes. The workshop made an impact. Tully says, "Certain people clicked. We said, let's do something. Up until then we had posters, printed materials, we answered questions. We wanted to do more."

AVCO was toying with a new concept in security education – to pitch the security briefing directly to the occupational level. "From our discussion we realized that at least ten companies wanted to take a new look at security education. We agreed to meet after the DoDSI course, put our ideas on the table, and reach a consensus as to what could be done."

About a month later a survey letter with ten questions was sent out to 25 companies. It asked questions like:

- To what degree is security education accepted in your company?
- Does your management support security education?
- What do you want from a security education program?

The purpose of the survey was to assess the level of ongoing security education and the level of cooperation from top management for each company surveyed. From the results of the survey, they invited 15 companies to the first meeting. Selection to become a SEAB member was based on size of the company and if the company was "engaged in heavy DIS work."

They were looking for those that had similar full scale security operations, plant protection, closed areas, and so forth. They recognized

that these similarities would make for common concerns and goals in defining their security education needs. Tully says they were looking for "those who speak the same language."

### **Off and running**

The first meeting was held in June 1985 at AVCO. Thirteen showed up at the outset. "We now have 11 companies. Mostly we have ten show up at a full meeting." Tully feels that that's an ideal number. The eleven-member group has been stable for some time and it's apparent in the ease with which they work together and the camaraderie during after hours. They enjoy equal participation at their meetings. There are no officers.

Catherine Dyl, an enthusiastic SEAB member, brings a lot of experience to the group. Dyl, who holds a law degree, worked with the Federal Aviation Administration as an investigator. She's been security administrator for Bolt, Berenek, and Newman (BBN), an R&D think tank, worked as an Industrial Security Rep with the DIS Boston field office, and three years ago returned to BBN as their corporate security manager.

Asked about the SEAB she says, "I get very excited about the meetings. When you work at a company for a long time it's easy to lose sight of what is most effective in security education. It's good to talk with others to get new ideas – a good exchange of information. Aside from security education, we all learn something as individuals. I learn something every time. Some members contribute more, some are more vocal than others, but we all contribute in our own way. There's no problem getting volunteers. And we all contribute an equal share of money which is the biggest aid."

From the beginning SEAB wanted to involve industrial security people from DIS and to keep them abreast of all SEAB developments. Actually, the DIS Cog Office has been getting more involved for the last six months. They are not members of the group, but they act as advisors and interpreters of DIS policy and *ISM* regulations. They also provide security education expertise – for example, the latest audiovisual techniques, or what's "out there" that security people can benefit from.

## **Work in progress**

The goal the SEAB seeks is a comprehensive security education program to ensure that all cleared employees are familiar with the security requirements that apply to them. The vehicle used is the production of separate, self-contained training modules in the form of slide-tape presentations for five designated groups: secretarial/clerical, engineering/supervisory, AIS operations, export of technology/marketing, and OODEP/top management. Says Tully, "This stuff is teachable if you break it down."

Those of us visiting from the Institute were fortunate enough to be invited to one of their monthly meetings – this one held at AVCO, but they all take turns. The main topic was finishing touches for their current audiovisual module – a security indoctrination briefing for secretaries and other clerical people.

We watched the thirty-minute slide-tape presentation (good, clear graphics, some photos of AVCO people, good narration though a little too fast for our ears). Narration can also be done by a live briefer rather than on tape. Tully says this is his choice since the pace is slower and the delivery can be stopped any time to answer questions. "A presentation can't be more than 40 minutes. Supervisors won't allow their people out from the job any longer than that. We're suggesting 30 minutes for the AV plus 10 minutes for questions and answers."

The slide-tape module is largely generic since most *ISM* requirements are common to all companies. But portions can be adapted to fit a particular company by substituting slides and/or altering the script. For example, they can insert photos of their own company badges when talking about badging and identification.

Production of briefing packages is being handled by AVCO's graphic arts department, with reimbursement from all SEAB members. The first module has cost each company about \$300.00 – a real bargain. "Lack of graphic arts expertise is the biggest stumbling block to this sort of program. We can reduce the cost of a module to 25 percent of regular cost because of AVCO's facilities."

Other groups who are thinking of forming would do well to make sure that at least one company in the group has a graphic arts capability.

SEAB has put together a loose-leaf notebook containing all the parts to "build your own" audiovisual module. We were handed a very large binder and inside found: a program of instruction (goals, objectives, methods), lesson plan, photocopies of slides, and generic script that follows order of slides. It's a package to be used as a model. Each SEAB company can make its own slides and convert the lesson plan and script to fit.

## **Lessons learned**

They've learned a lot from the experience of doing Module I. Tully explained, "With Mod II there'll be a longer intro and a better music lead-in. Some slides can be reused from Mod I to save money."

Naturally they've made some mistakes they won't repeat. Their first narrator was a company employee. After playing the tape back they realized they needed an experienced reader. They looked into hiring a professional actor, but discovered that union scale was beyond their budget. Then someone contacted the newscaster from the local cable network who came out and did the entire reading in one and one half hours for \$50.00. (They set her up in the sound-proof hearing booth in AVCO's medical lab to do the recording.) It was cut on a VCR and transferred to audiocassette.

They also learned exactly when during the course of the project to make their slides. "We learned a lot about graphics work; for example, we did the slides too early on the first module and had to redo them more than once. Now we use overhead transparencies as working copy and print the slides once."

## **A few tips**

For others interested in doing something similar, SEAB recommends forming a group of about 10 members. "There is a tremendous amount of work in the production of one of these AV packages and you need enough members to share the work and the cost." In-

valuable assets are two members who are former DIS employees now working in industry. Tully stressed the importance of DIS participation in their group. "We use the *ISM* as the bible and it works because we have former DIS people in our group."

The group also includes some who have taught professionally – who know how to write a lesson plan and put a program of instruction together. One member formerly taught composition and grammar. Some are from very large companies which provide them with "real expertise" in security education. Two were military instructors. The varied backgrounds help and Tully says, "We're all on the same wave length which is very important."

### **Mixing their media**

SEAB doesn't rely solely on the audiovisual modules it's making. The group is pooling its resources and ideas in another way as well. BBN has a security education library that SEAB is using as a repository for ideas and products for security education and solutions to security problems. Catherine Dyl told us, "Whenever a SEAB company makes any security education product – for example I recently wrote a security guide – a copy is sent to our library. Then we have a central copy for anyone to make use of." Darlene Quarles, security education specialist at BBN is also the librarian in addition to being a member of SEAB.

Dyl adds, "Darlene actively solicits information for the library and for SEAB. For example, she just attended a National Security Institute symposium at Newport Beach. Besides the reason for attending the symposium, she also went to make contacts, to ask people to give her examples of what they've been doing in security education. Most companies are willing to cooperate. No sense working to reinvent the wheel when you can get good ideas from others. Professional contact is very important. Meeting other people who you know have solutions to problems you've encountered."

Dyl feels SEAB will have an important role to play for quite some time. "We have no audiovisual competition. There are very few good security products out there – most are outdated or ill-suited to our companies' needs. And most products are not good enough for my company. My employees are very particular." She believes her people will respond to the briefing SEAB has done. "This is a product I will use."

The SEAB is proud of their accomplishments and plans to continue moving forward. Tully's philosophy speaks for the group – "Increase the level of security education and you will automatically decrease security violations. The greatest problem is a lack of knowledge not deliberate violations. We're heading it off."

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**"The greatest problem is a lack of knowledge, not deliberate violations. We're heading it off."**

# Handcarrying Classified —

## Success or Disaster?

By Special Agent Wade Stevenson  
Defense Investigative Service, Fairview Heights, IL

**J**ust shortly after the peak rush of the noon lunch-hour at a McDonald's restaurant in the Washington, D.C. metropolitan area, a customer carried his tray to a corner booth. When he sat down, his foot kicked something and knocked it over. He looked under the table and found a black attaché case. There was no one in that area of the room so he picked up the case and carried it to the restaurant manager. They opened the attaché case together and found it full of classified correspondence (messages and letters); almost all of it was marked Top Secret.

**T**he weather on the East Coast may not have been ideal, but the cloud cover didn't look serious when the contractor, handcarrying classified material back to his facility, boarded the plane for his return flight home. By the time the aircraft rolled to a stop at its destination, however, and the courier had collected his belongings and walked to his car, the rain was turning to ice. He decided that the road conditions made it too dangerous to drive further than was necessary, so he took the classified material to his home.

**T**he DC-9 was maybe 45 minutes out of its Texas airport en route to Los Angeles International Airport when the passenger in seat 11D opened a folder with briefing sheets marked Secret and began to study them. A fellow passenger across the aisle in seat 11C, without wanting to appear obvious, also seemed very interested in the classified document that was being read. A lady in the center seat, 11E, noticed the other passenger's interest and pointed it out to the person with the classified documents seated next to her. The reader closed the folder, placed it under the

seat in front of him, and walked to the rear of the plane for a cigarette.

**I**t had been a long and tiring trip for each of the four team members. But now, from the Frankfurt Airport in Germany, they were on their way back to the States. Everyone helped remove the luggage from the rental car, including a buddy of the member who had volunteered to drive the auto back to the drop off point. No one remembered to get the four large, classified packages with U.S. Secret material out of the rental car trunk.

Each of the above are actual cases of security violations caused by the handcarrying of classified material. Unfortunately there are many more examples, too great in number to detail here. Top Secret, Secret, and Confidential material has been left in airports, on board commercial passenger aircraft, in lounges, restaurants, motels, taxis, and rental cars. The simple fact is: People in transit status tend to forget their safeguarding responsibilities when faced with travel pressures (for example, gate changes, delayed departures or late arrivals, bad weather, mechanical difficulties, lost luggage, rental car problems). Maintaining security while handcarrying classified can be an inconvenience — such as having to take your attaché case with you to the restroom, carrying it to a designated smoking section, taking it with you to a restaurant, or having to go miles out of the way to a government (cleared) activity just to store it in a GSA-approved container.

Another simple fact is that the security of our nation's classified material is most vulnerable to compromise when it is handled or processed outside normal transmission channels. For these reasons, classified material should be handcarried aboard commercial aircraft on a very restricted basis and only after deciding that a rare and unusual situation warrants such activity. Certainly, there will be bona-fide cases when it's necessary to handcarry classified — a short-notice requirement for a briefing at a distant government location or perhaps the need to discuss complex, detailed data which isn't available on the other end. Those kinds of unexpected emergency demands do occur.

However, those emergency conditions, and the fact that time doesn't permit the safer, normal transmission method *going*, doesn't mean the material must also be handcarried back – it could be and should be returned via more normal channels in most cases.

Also, don't be taken advantage of just because you are a contractor at your customer's location and they have classified material they want to give you. Ask them to mail it to your facility. Then it will be correctly and safely transmitted, properly entered into your accountability system, and deleted from theirs.

Handcarrying as a convenience can cause trouble. Regrettably, a large number of handcarry violations take place on the return leg of an otherwise successful and profitable trip. You can believe that being identified as the

culpable individual in a preliminary inquiry or a formal investigation report due to a handcarry violation can somewhat ruin your day. Especially if just prior to that you gave a superb presentation or submitted a terrific piece of work. Too many people have learned that the hard way.

Contrary to what you might think, it isn't the purpose of this article to paint a bleak and dreary picture of handcarrying classified information. The need to handcarry exists; it is recognized and provided for in the directives. But do it right! Be *sure* the need exists and that it's the best (only) way to get the classified where it needs to be, when it needs to be there. *And*, don't forget the Defense Courier Service exists specifically to move highly classified materials in a secure manner.

Safeguard the classified given you as a courier as though your career and our national security both depended on it – because they both very well could.

# Handcarrying Classified ...

Here's a list of some do's and don'ts

## Do:

- ✓ Make every effort to send the classified via normal channels. Use the Defense Courier Service, if possible. Consider handcarrying only as a last (and emergency type of) effort.
- ✓ Plan well in advance and have the material there and waiting at your destination.
- ✓ Check with your security staff immediately when you learn you must act as a courier.
- ✓ Make certain you receive the proper briefing on your handcarrying duties.
- ✓ Get documentation that authorizes you to act as a courier. Have the material properly wrapped.
- ✓ Make arrangements to pick up the classified package enroute to the airport from the facility.
- ✓ Be prepared for x-ray examination at the airport security gate. Know what to expect and what you are to do.
- ✓ Make arrangements to either be met at the airport by an appropriately cleared individual who will safeguard the material or store it in an approved container.
- ✓ Arrange to have the classified shipped back to the facility via the normal, more safe manner.
- ✓ Respect the trust placed on you as a courier. Safeguard the classified entrusted to you at all times during your courier role – a compromise of the classified could result in grave consequences.

## Don't:

- ☒ Handcarry classified unless there is no other way of getting it there.
- ☒ Wait until the last minute to decide what classified should be taken.
- ☒ Decide what is and isn't required to handcarry classified on your own.
- ☒ Think this is "no biggie" and treat your courier responsibilities in a cavalier manner.
- ☒ Just throw the material loose into your attache case and take off.
- ☒ Take the classified home with you the evening before your flight the next day.
- ☒ Go, if special processing procedures outlined in the ISM do not permit boarding with the classified – make other arrangements. You may not, under any circumstances, allow the opening/examination of contents.
- ☒ Take the classified with you to your motel for an overnight stop. Also, if returning on a Friday don't take the classified home with you until Monday – get it back to the facility. (See comments below.)
- ☒ Think just because you had to (in the emergency condition) handcarry the classified *out* you also have to handcarry it back.
- ☒ Handcarry classified unless you absolutely have to – if you have to, control it absolutely.

# **EDUCATION AND TRAINING SPECIALISTS**

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(Handles training and security education services for the Northern and Southern Sectors.)

# **Classified Material Escorts Aboard Commercial Aircraft**

*If you routinely transport classified material that is too big to handcarry, the following information was written for you...*

by Jerry Burns, Security Supervisor  
AIL Systems Inc.

Through the years, hand-carrying classified material on board commercial aircraft has become fairly common. Although the recent authorization to use U.S. Express Mail has reduced hand-carrying quite a bit, the practice is still a routine one with well-known rules and few problems. The routine can turn into a real challenge, however, when you're in a big hurry and the classified you want to ship is bigger than the proverbial bread box.

Before deciding to send material by commercial aircraft, of course, all reasonable alternatives must be considered. The major considerations are:

- the time involved
- consequential impact on contract compliance
- the cost.
- 

When it's determined that transport by commercial aircraft is essential, much coordination will be required to ensure continuous control over the material to be shipped. Basic guidance is given in Appendix IX of the Industrial Security Manual, "Use of Escorts for Classified Shipments," and should be studied before undertaking the task.

## **Planning**

There are many arrangements to be worked out with many agencies – at both the point of departure

and the point of delivery. Therefore, start as soon as possible – give those agencies at least three days notice before shipment. It is also a good idea to touch base with the local Defense Investigative Service Field Office, for several reasons. First, they may have guided others through the steps and can provide information and points of contact that will make your job easier; second, they will want to be aware of what is going on; and third, they can verify your actions should the airline or airport authorities question your intentions. When first notifying your DIS office, ask them for the names and telephone numbers of DIS points of contact who will give verification.

Know the size and weight of the package to be shipped. If you have a shipping department, let them do the preliminary packaging to determine the size of the shipping container, to include length and girth. You may make some suggestions about the shipping container: For example, from a security standpoint the container will provide more protection if it is banded or is made of metal and can be locked. From these measurements and considerations, they should be able to figure the weight.

Next, ask the selected airline if they can and will ship the container on a regularly scheduled flight. Better yet, let whomever normally makes these arrangements do so. They are the specialists.

Once shipping provisions have been made, obtain the size and weight of the shipping container, the name of the airline, flight number, date, time of departure, and arrival time at the point of destination. In addition, the person making the arrangements should obtain what is referred to as an "airbill." The airbill is the shipping number assigned to your particular piece of cargo (the name for the shipping number may differ from airline to airline).

## **Initial Coordination**

Once all this has been done, the real coordination work starts. We all understand that the barriers and security measures set up at airports are there to protect against terrorist attacks, and to prevent explosive devices from being placed on the aircraft. Agencies charged with this security can become quite anxious when a caller wants to make arrangements to approach cargo processing areas

and aircraft parking ramps. Bear in mind during negotiations that the airline is under no obligation to provide special handling merely because the shipment is classified. What you are asking for is special consideration, and the airline may elect to provide this service to ensure future business. On the other hand, they may determine it is inconvenient and deny the request. Understand also that, in most cases, these security responsibilities are split between general airport security providing access through outer gates, and internal procedures at the individual airline-controlled work areas.

Probably you will first want to make contact with the airline's security supervisor. Explain the situation. Be clear and concise. Make sure the supervisor understands the shipment contains Department of Defense classified material and that constant control and oversight is mandatory. Provide the flight data, size and weight of the shipping container and the airbill number. Give them the details: Type of vehicle bringing the shipment; time of arrival; and how important it is for the courier to accompany the shipment to the plane, observe the loading and securing of the aircraft cargo bay, and remain until the aircraft actually departs. Ask if the airline can make any provisions for your shipment to be "last-on-first-off." This may be difficult where two different airports are involved, but it can't hurt to ask. The escort who will accompany the shipment to the destination is required to process as a routine passenger and, therefore, will go through the metal detector in the passenger terminal and board the aircraft with other passengers. This leaves the cleared truck driver or a second courier to observe the loading procedures from the aircraft parking ramp.

The airline security supervisor may decide to coordinate with other agencies and departments. However, understand this is not his/her responsibility – it is your shipment.

With luck the airport security supervisor will give you the names and telephone numbers needed to gain access to the various areas. Call these representatives and, again, supply all required information – specifically emphasize the fact that this is a DoD classified shipment and constant surveillance is necessary. The following minimum coordination is suggested.

### Airline Freight Office

Provide all the flight information and airbill number to the airline freight office. Explain that the shipment is a DoD classified shipment and that constant surveillance by the courier or escort is mandatory right up to takeoff. Further explain that the escort will accompany the courier into the freight handling area until it's certain that the shipment is cleared for the flight and will wait to see the shipment actually loaded in a specific cargo bay. In case of a stopover, the escort ensures the shipment is not inadvertently off-loaded. Explain that, once the shipment is loaded, the escort will proceed to the passenger processing area for boarding. Remember, at this point you are talking with a supervisor in the freight *processing* (administrative) area, probably in a separate section or building from the actual freight *handling* area. Ask who should make arrangements with the cargo handling supervisor – you or they.

Once the arrangements are complete, consider getting a written confirmation. In a letter to the supervisor with whom you have coordinated, detail the instructions received, citing names of persons spoken with, building numbers, and all other pertinent information. Also included should be full identifying information on the identification media, make, and model of the delivery vehicle and license number, if available. If you're in a hurry, FAX the letter. Follow up by confirming receipt of your facsimile and that the information in your letter is correct. If separate arrangements were made with the freight/cargo handling section, you may consider a second letter to that supervisor.

### Airport Security

Contact a supervisor of the agency charged with primary responsibility for overall airport security. This agency normally provides internal security for the airport and controls special entry points leading to work areas of the flight line and cargo areas. The vehicle delivering the shipment to the airport will need permission to pass through these entry points to the airline freight/cargo handling building. Again you need to give them flight data, the building number to which the delivery will be made, names and identification of the courier(s) and escort, the processing scenario as worked out with the freight processing supervisor, and vehicle identification information. Follow up with a letter

of confirmation and copies of the letters forwarded to the freight processing and handling departments. In this way, the airport security supervisor is aware of the names and telephone numbers of those with whom you have coordinated the shipment.

### **Passenger Service**

Coordination with the passenger service representatives is primarily for special handling of the escort upon arrival at the destination. Explain that the shipment contains DoD classified material and constant surveillance by the escort is mandatory. Therefore, the escort must be the first to deplane upon arrival at the destination and/or any planned or unplanned stopover. Explain also that the escort will be a regular passenger, but will identify him/herself as the escort for the shipment.

Internal company coordination is normally somewhat simpler since one is usually on familiar ground, points of contact are established, and those persons understand the sensitivity of the shipment. Still, since this is not your everyday transmittal of classified material, special coordination is necessary.

### **Transportation**

The size and weight of the shipping container will normally determine the type of vehicle needed. Depending on the distance to the airport, you may want to take two vehicles, one for backup. Should the first vehicle break down or be involved in an accident, the cost of having a backup immediately trailing may be a lot less than rearranging the shipment should you miss your flight, especially when you think of the coordination involved. If only one vehicle is used, in addition to the driver, the escort and at least one cleared courier must be present. Of course, a cleared driver can act as the courier; however, either the escort or a second courier must be with the primary. In the event of a breakdown, one courier would remain with the shipment and the other would go for help, if required. Remember also, at the cargo loading area, the courier must observe the aircraft through takeoff while the escort must process through the passenger terminal. Also consider the distance from the freight terminal to the aircraft and how the escort and courier will travel to the aircraft. It really is best for two vehicles to accompany the shipment to the airport. Courier or-

ders/authorization for the person accompanying the shipment to the airport (who will remain to observe takeoff) should be specific. They should include the requirements to observe loading of the shipment and to stay until the plane is airborne (since a flight can be aborted at any time before takeoff). Additionally, it is strongly recommended that copies of letters forwarded to the freight processing, cargo handling, and airport security supervisors be attached to the courier orders. A verbal briefing should also explain the letters and provide telephone numbers, both airport and company security, to be called in the event of problems.

### **Document Control/Shipping Department**

Pack and crate the material in the presence of Classified Document Control representatives. Ensure that all required markings and/or appropriate classification notifications have been included in the shipment and that the exterior of the container bears no indication that the contents are classified. Include a document receipt inside the packaging and not in any external envelope containing the bill of lading and other shipping documents. Whoever removes the package/crate from the Document Control secure area will be required to sign a receipt for the "sealed container."

### **Escort Instructions**

As with the assigned courier, the escort (the individual who will actually accompany the shipment through to the destination) must be given specific, detailed instructions. Courier orders or authorization instructions issued to this individual should be tailored for this shipment. At all costs, avoid issuing *generic* courier orders for hand-carrying classified material on board a commercial aircraft. These instructions, as a minimum, should include:

- steps for observing the load operation
- determining in which aircraft cargo bay the shipment is located
- the fact that the escort may relinquish constant surveillance to the designated courier only if the courier fully understands that the plane must be watched until takeoff.

Instructions must also cover scheduled or unscheduled landings en route, including deplaning and resumption of constant surveillance of the shipment or, in case the shipment is not off-loaded,

observation of the cargo bay containing the shipment. Copies of all letters to airport and airline officials should also be attached to the instructions. The escort also needs to know that, even with prior coordination, it is the escort's responsibility to identify him/herself to the passenger service counter representative and the flight attendants, to ensure they are aware of the special handling procedures. Names and telephone numbers in case of emergency, including numbers to call after normal working hours, should be provided either in the written instructions or in the verbal briefing. It would also be prudent to provide the escort with additional, blank sealed package receipts to be used in case the shipment is interrupted and must be secured en route. (Please see the sample escort instructions at the end of this article.)

### **At The Other End**

Having done all the above, you might think the job is over. Actually, it's only half over. The special handling procedures arranged at the point of departure must now be coordinated at the destination and any scheduled stopovers. Probably one of the most critical elements will be authorization for the escort to deplane first and be allowed to descend from the passenger loading tube directly to the aircraft parking ramp where cargo and baggage will be off-loaded. This authorization is critical to ensure the cargo is not unintentionally off-loaded at an intermediate stopover or, at the final destination, in the event the company vehicle scheduled to meet the escort does not arrive on time. The escort can't just assume someone will meet the plane and take over surveillance; therefore, he/she must take positive action to accomplish the constant surveillance. For scheduled stopovers, don't simply assume the escort will be allowed to descend to the

aircraft parking ramp at intermediate stopovers. Unless the airline gives specific assurance of this, it's wise to make prior arrangements with the passenger, freight and airport security representatives at each stopover airport.

When coordinating with freight handling officials at the final destination:

- find out how far the cargo processing area is from the aircraft parking area
- if the escort will be provided transportation, and
- if the company vehicle meeting the shipment will be permitted onto the parking ramp.

Because of special vehicle inspection requirements and traffic rules on aircraft taxiways and parking ramps, coupled with the dangers of damage to aircraft, do not count on private company vehicles being allowed into these areas. Probably the most that can be hoped for is that the company vehicle will be allowed in the cargo processing area, which may be miles from the aircraft parking area.

Needless to say, whoever the intended recipient is, either a branch of your own company, another contractor, or the Government, coordination with the Security Department and program management at that location is a must – first, to let them know what is on the way and second to arrange for transportation from the airport to that location. It may also be advantageous to have your security counterpart at the receiving location arrange for the necessary coordination at the airport. It matters little who actually does the coordination, so long as it is done and done thoroughly.

AIL Systems Inc.  
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Deer Park, New York 11729

FSC 00752  
Tel. (516) 595-3028

November 5, 1990 EXPIRES: November 6, 1990

To Whom it May Concern (airport authorities)

Mr. John Q. Messenger, SSAN: 000-00-0000; Birth date: 5 Nov 37; Height: 5 ft, 9 in.; Weight: 200 lbs.; AIL Identification Card No. 2565 is an authorized courier of U.S. Defense classified information/material which is specifically EXEMPT FROM BEING OPENED by airline or other inspecting officials. This material consists of:

One crate 38" X 41" X 74" and weighing approximately 175 lbs.

The courier will depart Kennedy International Airport, New York, NY, via Pan Trans Airlines Flight No. 968, scheduled to depart at 7:55 AM, April 24, 1990, and arrive at Los Angeles International Airport, CA at 11:55 am, and will deliver said material to XYZ Technologies, Inc., Long Beach, CA.

#### SPECIAL INSTRUCTIONS FOR COURIER

As a designated courier for U.S. Defense classified material, you are personally responsible for adherence to the following rules. Failure to comply with these rules will constitute violation of corporate policies and procedures and could represent a violation of U.S. Federal Criminal Statutes, U.S. Code Titles 18 & 50.

- a. Ensure the material is properly prepared for transmission; i.e., the crate must be properly secured and bound with metal bands. There should be no markings on the exterior of the crate to indicate the contents are classified.
- b. You will receive/receipt for the material via a sealed package receipt.
- c. You shall proceed to your destination by the most direct route available. En route stops in public establishments, where possible, shall be avoided until after delivery of the material to its destination.
- d. At the airport, you shall observe the loading of the shipment onto the aircraft. You will then process as a regular passenger for the flight. The assigned courier accompanying you to the airport has been directed to maintain constant surveillance over the aircraft until departure.
- e. Upon arrival at Los Angeles Airport, you should be met by XYZ Technology drivers. Arrangements have been made for you to be the first passenger to deplane. You will depart the aircraft passenger loading tube via the stairway to the aircraft parking ramp below and observe the unloading of the aircraft and take charge of the shipment at the earliest possible time.

f. You shall conduct yourself throughout the period of this shipment in such a manner that the security of the material entrusted to you will not be prejudiced through carelessness, inadvertence, or lack of vigilance. Intoxicants or drugs, which may impair your judgment, may not be used while the material is in your possession.

g. Should your trip or schedule be interrupted or you experience some other type emergency, i.e., accident, injury, unscheduled stopover, etc. en route, you must immediately, make arrangements for security of the material entrusted to you. To the extent possible, you must keep the aircraft cargo bay under surveillance and ensure the shipment is not off-loaded. If the delay is anticipated to be extended, contact the local office of the Defense Investigative Service. If during non-working hours, contact the nearest military organization and request storage assistance. In all cases, notify the home office security department.

h. You shall relinquish the material only to authorized recipients who have been properly identified and who possess a security clearance at least at the level of the highest level of the material contained in the shipment. A proper receipt MUST be obtained from the recipient.

I have read and understand the instructions outlined above.

I have verbally briefed the courier on his/her responsibilities.

---

(Signature)

John Q. Messenger, Courier

---

(Signature)

Gerald J. Burns  
Security Supervisor